



# Gate Review Process

presented at DODCAS 2009 DON  
Session

CAPT Jim Baratta  
Deputy Director, NCCA



# Gate Review Process Overview

- Purpose
  - improve governance and insight
  - ensure alignment between **capability requirements** and **acquisition**
  - improve senior leadership decision making
  - gain better understanding of **RISKS** and **COSTS**
- Objectives
  - endorse or approve key JCIDS and acquisition documents
  - facilitate decisions regarding capabilities and material solutions
- 2-Pass, 6-Gate Process
  - address Requirements and Acquisition governance respectively
  - EVERY GATE reviews program health – **cost, risks, budget**



# Gate Review Board Membership

- Principal (voting) members
  - CNO / CMC / VCNO / ACMC
  - ASN (RDA) / PDASN
  - ASN (FM&C)
  - OPNAV N8 / HQMC DC P&R and DC CD&I
  - Appropriate SYSCOM Commander
- Advisory (non-voting) members
  - Resource Sponsor, CHSENG
  - N80, N81, N091, FMB
  - Cognizant DASN
  - DASN (C&E)
- Attendance limited to Principal or Deputy (Flag/SES) plus one



# Pass 1 Gates

- Gates 1, 2, and 3      “Requirements” Gates
  - Led by CNO or CMC
  - Starts prior to Material Development Decision, ends after Gate 3
  - Leads to:
    - Approving the ICD
    - Approving AOA guidance
    - Selecting an AOA “optimal” alternative
    - Approving a CDD
    - Developing a CONOPS
    - Approving System Design Specification (SDS) Development Plan



# Pass 2 Gates

- Gates 4, 5, and 6      “Acquisition” Gates
  - Led by ASN(RDA)
  - Starts after Gate 3, ends after Milestone B (initial EMD phase)
  - Leads to:
    - Approving the SDS
    - Approving release of the RFP
    - Assessing readiness for production
    - Assessing sufficiency of the EVMS PMB
    - Assessing the IBR
  - Follow-on Gate 6’s pre- and post-Milestone C and FRP DR
    - Serve as Configuration Steering Boards and review program health



# Pass 1 - Requirements Gates

- Gate 1: Approval of the ICD
  - input: Service review of the ICD
  - brief: AoA assumptions, cost constraints and life-cycle considerations
  - outcome: Validates AoA guidance, authorizes to proceed to MSA phase
- Gate 2: Approval of the preferred alternative
  - input: Approved ICD, AoA, “sufficiently mature” MS-A documentation
  - brief: AoA assumptions, analysis, findings, preliminary TRL assessment
  - brief: Projected life cycle costs for all AoA options
  - outcome: Approves development of CDD and CONOPS for alternative



# Pass 1 - Requirements Gates

- Gate 3: Approval of the Service CDD and CONOPS
  - input: Approved AoA, SDS development plan
  - input: Service review of CDD/CONOPS,
    - supports **LCCE** (employment, sustainment, training, manning, etc)
  - brief: **Initial independent cost estimate** & **schedule assessment**
  - brief: **Compare to PM estimates**
  - outcome: Approves the CDD/CONOPS, SDS development plan
  - outcome: Approves program to MS-A (or with MS-B preparations)



# Pass 2 - Acquisition Gates

- Gate 4: Approval of the SDS
  - may be combined with Gate 5 and MS-B for ACAT IC/IAC/II
  - input: Approved CDD, CONOPS, and review of SDS
  - input: Independent cost estimate, PM cost estimate, budget
  - brief: Capability, risk, independent/PM cost/schedule estimates
  - outcome: Authorizes program to proceed to Gate 5 (or Milestone B)
- Gate 5: Approval of release of the RFP
  - may be before, concurrent with, or after MS-B
  - input: Approved SDS, key business elements in acquisition strategy
  - brief: Capability, risk, independent/PM cost and schedule estimates
  - outcome: RFP approval for release to industry



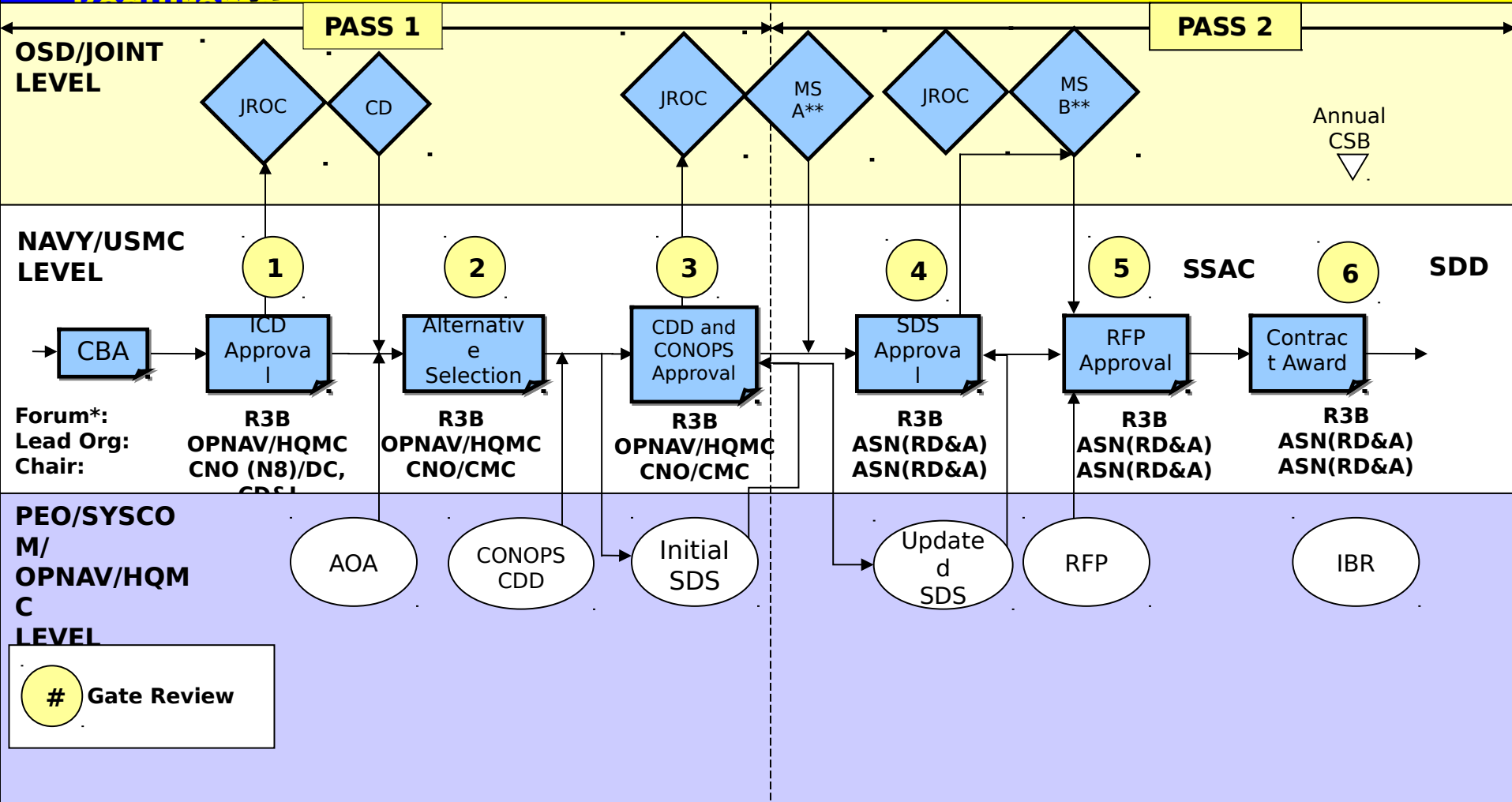


# Pass 2 - Acquisition Gates

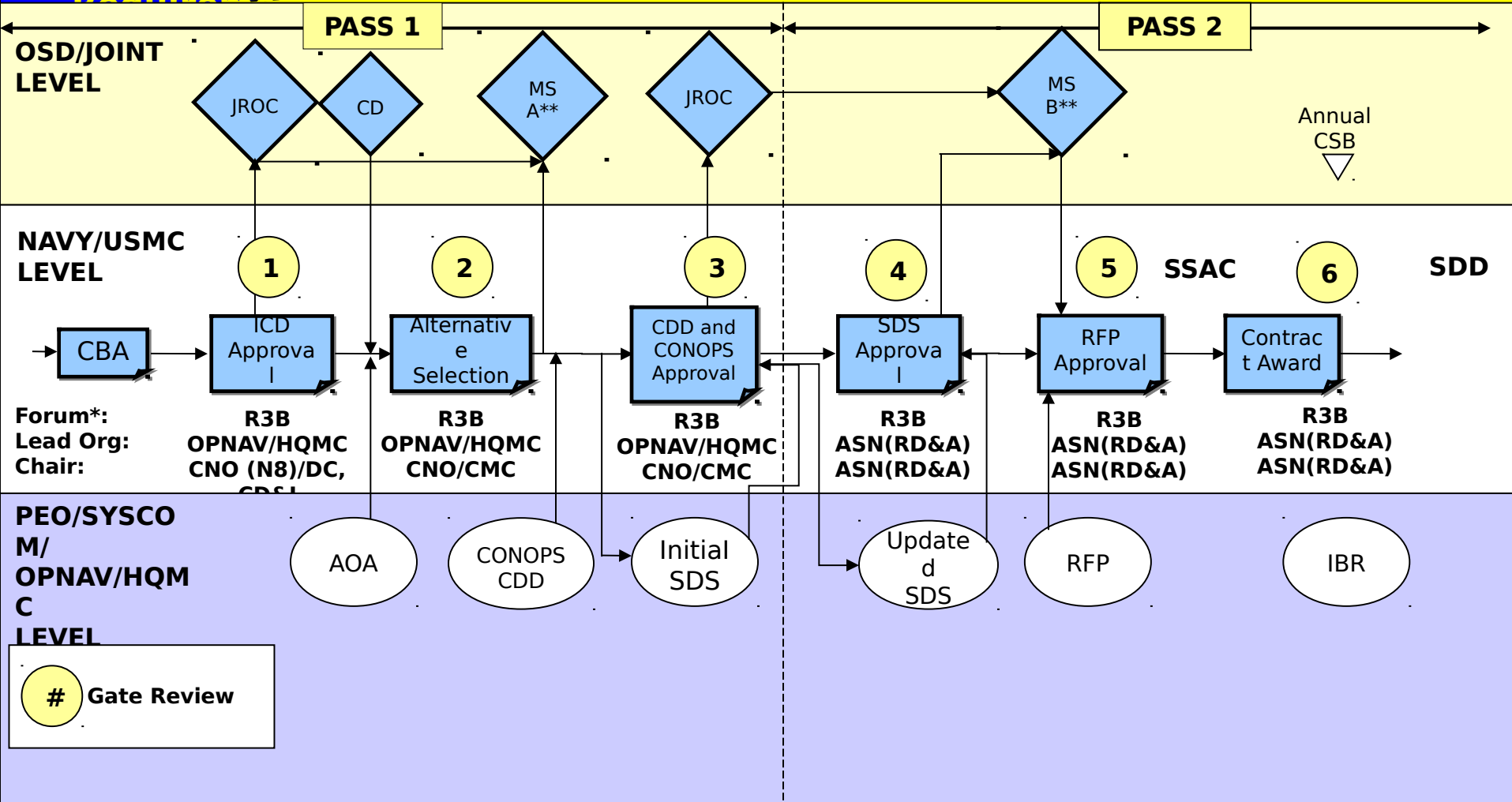
- Gate 6:      Assesses readiness for production
  - occurs after contract award and IBR completion
  - input: Source Selection completed, contract awarded, IBR completed
  - brief: Capability, **risk, independent/PM cost and schedule estimates**
  - brief: Assesses IBR results, sufficiency of the SDS and EVMS PMB (EAC)
  - outcome: follow-on Gate 6 reviews prior to and post MS-C, FRP DR
- Gate 6 follow-on:    Pre-LRIP, Pre-FRP DR
  - “as needed” tailored approach
  - specific elements undefined in SECNAV 5000.2, same as Gate 6

**DON**

Requirements

**Acquisiti**

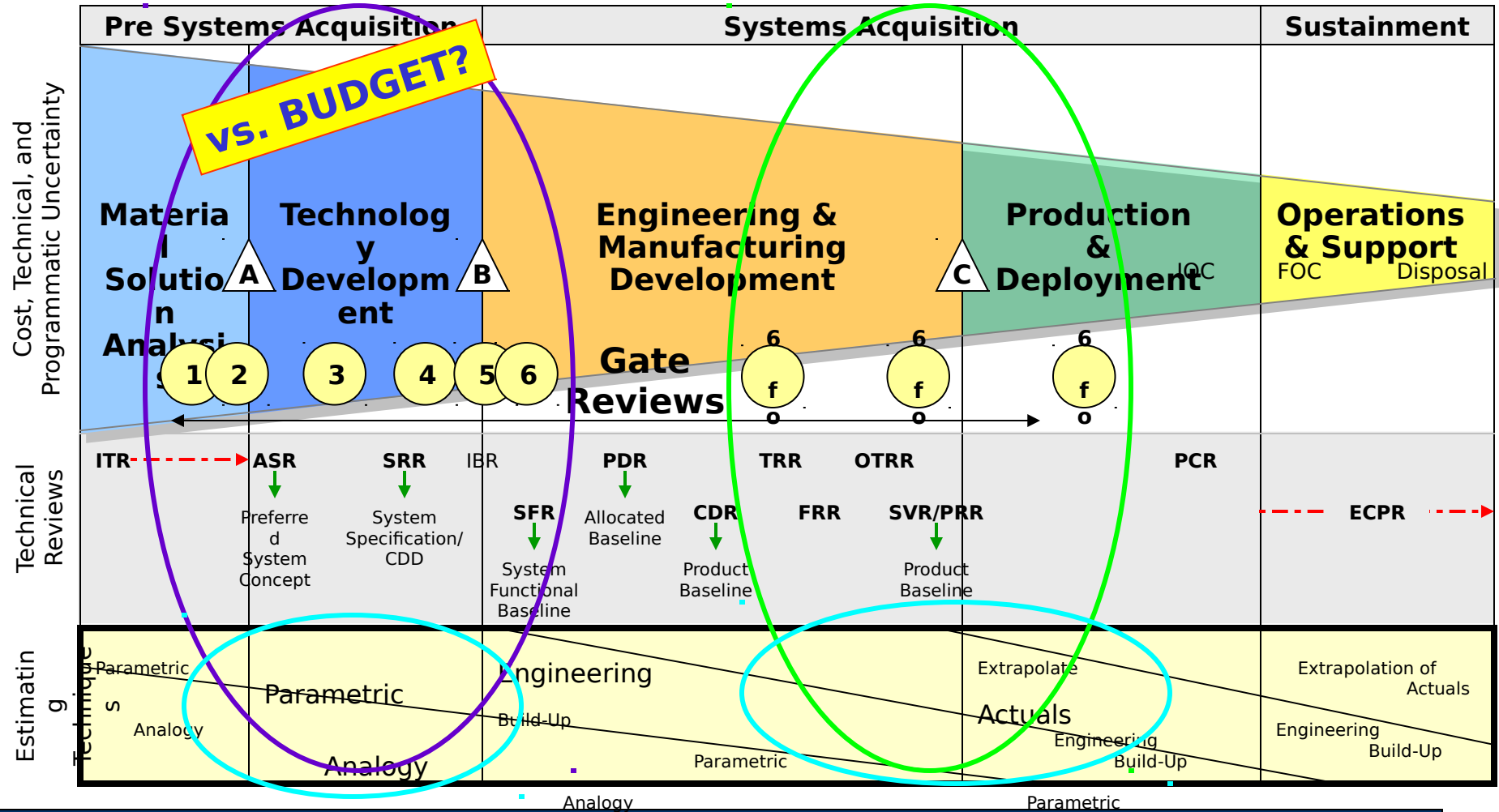
Illustrated example for program initiation at Milestone A



**Illustrated example for program initiation at Milestone B**



# Program Cost Uncertainty Over Time





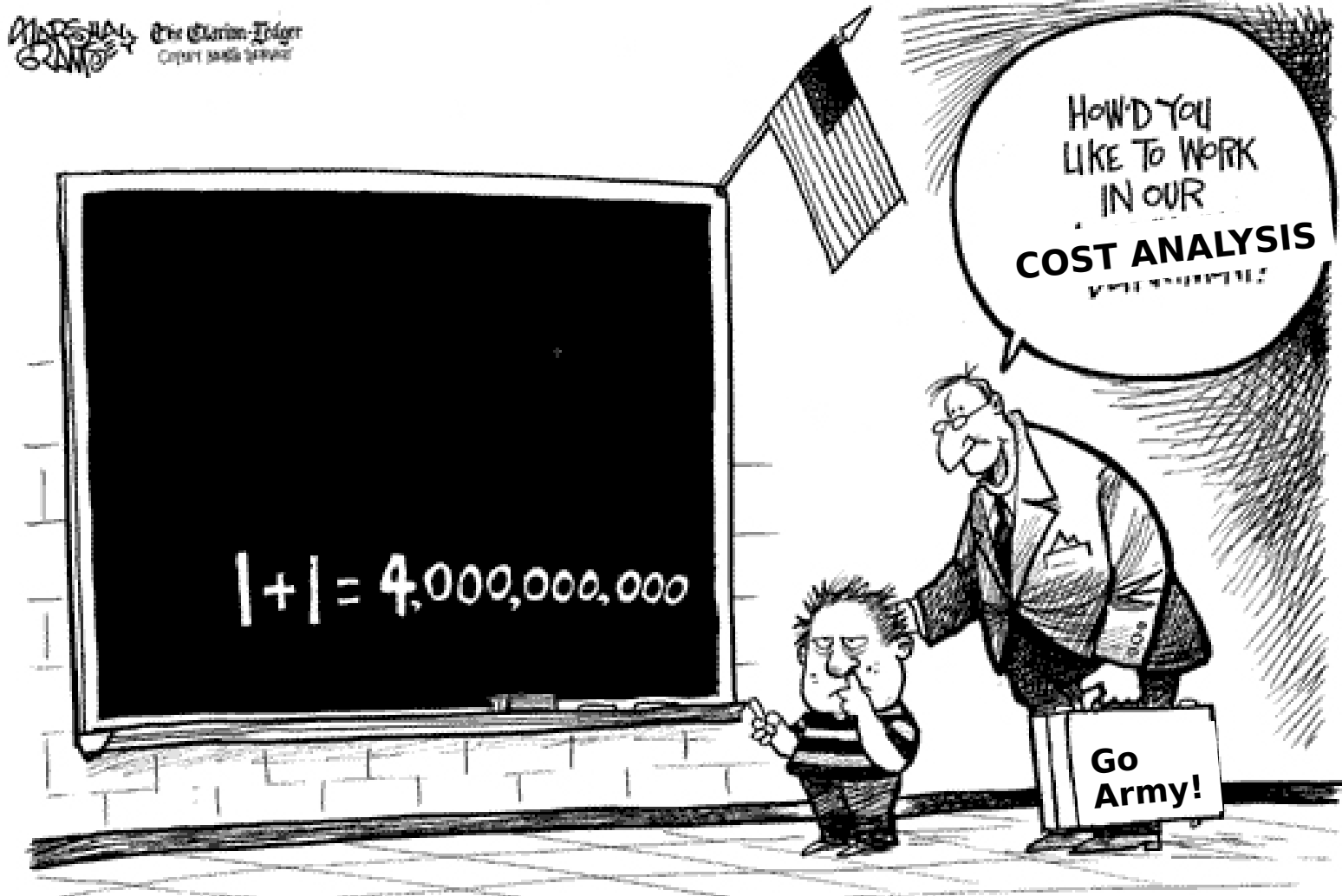
# Gate Review Process

## Potential “Cost Community” disconnects?

- How often are the program’s definition and bounds changing during the pre-MS-B timeframe?
- What reliable data is available to estimate a program this early in its acquisition life cycle?
- What documents are complete and approved leading up to each Gate?
- To what extent are CAIV decisions still being made prior to RFP release?
- Do “best practice” estimating methods allow significant cost estimate confidence at this point?
- As the estimate progresses, in what “ballpark” should the estimate’s upper bound of range be expected to cover potential costs into MS-B?
- How will the range and estimates be used to program a budget at this early phase in the program?
- What value does an independent assessment add in the early “requirements” Gates?



# Questions?





# Cost Estimate Confidence thru Pre-MS-B Phase of Programs

